

*Approved by Director: Dr. Guy Vallaro***15.1 PURPOSE:**

- 15.1.1 To describe the procedures for confirming candidate matches generated by CODIS, assigning dispositions to candidate matches, and notifying outside agencies with relevant information. To follow guidelines outlined in accordance with the requirements for the DNA Database as described in Connecticut General Statute Section 54-102g through m, Section 54-250, and Section 54-254; the NDIS Operational Procedures Manual; and the Memorandum of Understanding between the CT Division of Scientific Services and the FBI.

15.2 RESPONSIBILITY:

- 15.2.1 DNA Section Personnel.

15.3 Confirmation of DNA Database Matches, Overview:

- 15.3.1 A Candidate Match is a possible match between two or more DNA profiles generated by the CODIS software. It is not a Confirmed Match, therefore, no personally identifiable information related to a Candidate Match shall be released by the laboratory.
- 15.3.2 Offender samples submitted for incorporation into the CT DNA Database are not considered evidence; they are considered reference materials for investigation purposes. A confirmatory known sample is required in order to generate a DNA hit report. If appropriate, the submitting agency will be asked to supply elimination known samples.
- 15.3.2.1 For the purposes of the following procedures, the term "Offender" shall also represent the Arrestee, Detainee and Legal specimens that are acceptable at NDIS.
- 15.3.3 Offender matches: An Offender Candidate Match occurs when a DNA profile developed from crime scene evidence matches a DNA profile developed from an offender reference sample. Upon notification of an offender match, the case jacket for the associated forensic case is located, the identifying information card for the offender is pulled and a COLLECT database search for the listed individual is conducted. The elements of the search shall include RT50, RT60, SPRC and NCIC. Confirmation that the offender has a listed qualifying offense to be included in CODIS, was not incarcerated on the incident date of the forensic case, and has not previously been convicted of the incident under investigation is completed. The reference sample from the offender and the victim's known (if available or appropriate) are processed and compared to the current profile data. Once the profile data has been confirmed, the submitting agency, the appropriate State's Attorney's Office, and the Chief State's Attorney's Office are notified of the match by fax or email and supplied with both the forensic case information and offender's identifying information. The three parties are also notified that a formal DNA

Approved by Director: Dr. Guy Vallaro

Database Hit Report detailing the database hit will not be issued until a confirmatory known sample from the identified offender is received and processed. In the case of an interstate match, the information (either the forensic case or offender's identifying information) is supplied to the other NDIS participating laboratory involved in the match. The confirmation process is tracked on DNA-QR-19.

- 15.3.3.1 At the discretion of the CODIS State Administrator, the identifying information of an offender may be released without the retesting portion of the confirmation process as warranted by case details. In cases of (1) clear public danger, (2) if the offender sample cannot be located, or (3) the laboratory is unable to generate a DNA profile for confirmation; the identifying information for the offender may be released to the submitting agency. A statement will be included in the hit notification document indicating that the standard hit confirmation process could not be completed at the time of release.
- 15.3.4 Forensic matches: A Forensic Candidate Match occurs when DNA profiles from two forensic samples match to one another. Upon notification of a forensic match, the DNA case jackets for the cases are pulled. The known samples from the victims are processed (if available or appropriate) and compared to the current profile data. Once the match has been confirmed, the submitting agency(ies), the appropriate State's Attorney's Office(s), and the Chief State's Attorney's Office are notified of the match by fax or email and supplied with the information about the cases and contact information for each agency involved in the match. In the case of an interstate match, the case details and investigator information is supplied to the other NDIS participating laboratory involved in the match. The confirmation process is tracked on DNA-QR-19A.
- 15.3.5 When a Candidate Match (either Offender or Forensic) involves a DNA profile entered into CODIS prior to April 15, 2013, the match confirmation process shall include confirming the eligibility of the DNA profile entered into CODIS. Under this circumstance, the requirement to confirm eligibility will be denoted in the Confirmation Status on the DNA QR-19 or DNA QR-19A.
- 15.3.5.1 The DNA QR-13, case summary and sample information contained within the case file will be reviewed to substantiate the justification for entering the DNA profile into CODIS. The review of profile eligibility will be conducted prior to the release of any offender/case information to the submitting agency and documented under the appropriate section of the DNA QR 19 or DNA QR-19A.
- 15.3.5.2 If the available information is insufficient to support CODIS eligibility, contact shall be made with the submitting agency to obtain additional information to demonstrate eligibility. Any follow up actions will be documented in the Comments section of the DNA QR-19 or DNA QR-19A. The information obtained from contact with the submitting agency shall be

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documented on a case memo sheet and attached to DNA QR-13. Eligibility will be documented under the appropriate section of the DNA QR 19 or DNA QR-19A.

- 15.3.5.3 In the event the DNA profile is deemed ineligible to be in CODIS, the appropriate match confirmation process shall be completed. The appropriate disposition will be made in CODIS, then the DNA profile will be deleted from CODIS. The Deleted Specimen Report will be printed and placed in the case file. A note will be made in the Comments section of the DNA QR-19 or DNA QR-19A.
- 15.3.5.4 If this Candidate Match is determined to be an Offender Hit or a Forensic Hit, prior to the release of the information in the Hit Notification, the Department's legal counsel will be consulted. When the Hit Notification form is issued, it will apprise the notified parties of the ineligibility of the DNA profile for CODIS and the subsequent removal of the DNA profile from this database.
- 15.3.6 The designation of "Source Identified ?" in the STR/Y-STR Data Entry field of CODIS is not a legal determination. The designation only indicates that the forensic sample has been associated to a submitted known sample or by means of a CODIS match.
- 15.3.7 The transmission of a hit notification to confirmed fax numbers or email addresses for the submitting agency, State's Attorney's Office, and Chief State's Attorney's Office is deemed to be verification of the requestor of the search.

15.4 Confirmation of Missing Persons Matches

- 15.4.1.1 Missing Persons Candidate matches: A missing person candidate match occurs when a DNA profile from the Relatives of a Missing Person Index matches to a DNA profile from the Unidentified Human Remains (UHR) Index. In addition to autosomal STR results, both the target and candidate profiles should have data from a second DNA technology (mtDNA or Y-STR) or an attempt must have been made to generate a DNA profile using a second technology. Upon notification of a missing persons match, the DNA files for the cases are pulled. Once the match has been confirmed, the OCME, the submitting agency, the appropriate State's Attorney's Office, and the Chief State's Attorney's Office are notified of the match by fax or email and supplied with the information about the cases and contact information for each agency involved in the match. Communications regarding missing person matches should contain sufficient detail, including all known meta data, to allow the Medical Examiner to make a fully informed decision. The laboratory is not confirming the identity of the remains or definitively stating that a relationship exists to a given Pedigree Tree. The official identification of remains will be determined by the Medical Examiner and documented through the issuance of a death certificate.

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15.5 Evaluating a CODIS Match

When a candidate match notification is received from Match Manager in CODIS, the match must be evaluated and confirmed. For Candidate Matches in which all loci match at high stringency, the evaluation may be performed by an individual who is currently or was previously a qualified casework DNA analyst. For Candidate Matches in which any loci match at less than high stringency, the evaluation shall be performed by an individual who is currently or was previously a qualified casework DNA analyst in the technology being reviewed.

In some instances, the evaluation of a candidate match may require additional testing be performed on the involved samples. This testing may include the analysis of additional loci or the use of a second technology, such as mDNA or Y-STRs.

Depending on the type of candidate match, the appropriate procedure should be followed.

Intrastate Matches:

The CT DESPP-DSS will make a good faith effort to evaluate candidate matches, complete confirmation work, disposition in CODIS and notify the submitting agency(ies) involved in intrastate matches within 30 business days.

For each match generated from a state search:

- Print a copy of the Match Detail report.
- Locate the appropriate case jacket(s).
- Check that the disposition of the match has been automatically changed from **Candidate Match** to **Pending** in Match Manager.

15.5.1.1 Offender to Forensic Sample Match

A qualified individual shall compare the offender DNA profile to the forensic sample DNA profile. In the case of moderate stringency matches, mixtures and partial profiles, this evaluation should include a direct comparison to the electropherograms of the forensic sample.

- 15.5.1.1.1 If the profiles are determined not to be a match, a second qualified individual shall review the profiles. If both examiners concur, write **No Match** on the Match Detail Report, initial and date the report and have second examiner initial also. Change the disposition for the match in Match Manager from **Pending** to **No Match**. Place the Match Detail Report in the case jacket and the primary analyst must add their initials as well as the case ID #. In the event that the examiners are unable to agree, consult with the CODIS Administrator and if

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necessary, the Technical Leader.

- 15.5.1.1.2 If the profiles are confirmed to be a match, determine whether or not the source of the forensic DNA sample has been previously identified by checking the relevant information in the case jacket (e.g. reports). This may include contacting the submitting agency to determine if the case has been solved.
- 15.5.1.1.3 If the source of the forensic DNA sample has been previously identified, obtain a copy of the Offender information card. Verify that the identified source of the DNA sample is the same individual listed as the Offender. Change the disposition in Match Manager from **Pending** to **Conviction Match**. Place the Match Detail Report and the copy of the Offender information in the case jacket, add the appropriate case ID # and analyst's initials, and refile appropriately. Modify the "Source Identified?" box on the STR/Y-STR Data Entry field in CODIS to "Yes" for the forensic DNA sample.
- 15.5.1.1.3.1 In the event the Offender card information does not match the identified source of the DNA sample, a COLLECT search should be performed to ascertain the Offender's known aliases. If the COLLECT search does not yield a matching name, the laboratory may obtain additional identifying information (such as fingerprints) from the identified source of the DNA profile and the Offender and compare that information. If the issue remains unresolved, the laboratory will confirm the Offender sample to ensure no administrative errors occurred during sample processing. If no processing errors have been made, refer this match to the DNA Database oversight Panel for guidance.
- 15.5.1.1.4 If the source of the forensic DNA sample has not been previously identified, obtain a copy of the Offender information. Using QR-19 enter the appropriate information to keep a record of the progress of the confirmation process. Make a request to have a COLLECT search (RT50, RT60, SPRC and NCIC) conducted on this individual. When the COLLECT search information is received confirm the following:
- 15.5.1.1.4.1 The biographical data on the Offender information card matches the biographical information contained in the criminal history record (SPRC) and the Dept. of Corrections record. Document the concordance of information on the DNA QR 19. If there is a discrepancy, notify the State Administrator.
- 15.5.1.1.4.2 The Offender has been convicted of a qualifying offense as defined in Connecticut General Statute Sec. 54-102g. If a qualifying conviction cannot be readily identified from the COLLECT search, contact DOC Health or the Chief States' Attorneys' Office to assist with verification. If the Offender has not been convicted of a qualifying offense, this match will be referred to the DNA Database Oversight Panel for evaluation.

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- 15.5.1.1.4.3 The Offender was out of custody on the incident date. If the Offender appears to have been in custody on the incident date, confirm the incident date with the submitting agency, contact DOC Health to determine family status of the Offender (i.e. a known twin), and/or contact DOC administration regarding any furloughs or work release. Confirm the Offender's profile to rule out any incongruities. If a conflict persists, refer this match to the DNA Database Oversight Panel for evaluation.
- 15.5.1.1.4.4 The Offender has not been convicted of the match offense. If the Offender has been convicted of the match offense, change the disposition in Match Manager from **Pending** to **Conviction Match**. Modify the "Source Identified?" box on the STR/Y-STR Data Entry field in CODIS to "Yes" for the forensic DNA sample.
- 15.5.1.1.5 The Convicted Offender DNA profile will be confirmed by extracting and analyzing a second sample of the Offender's biological sample. If the victim's known is available and has not been processed previously, this sample should be processed also.
- 15.5.1.1.5.1 Locate item #1-1 or #1-2 FTA card and compare the barcode on the the FTA card to the barcode on the Offender information card. If the barcodes match, denote this information along with the date and your initials on the the photocopy of the Offender information card. Place item #1-1 or #1-2 in the bin to labeled Offenders to be Confirmed. If the barcodes do not match, notify the State Administrator.
- 15.5.1.1.5.2 For Offenders submitted prior to the implementation of barcodes, verify the name and numerical identifiers on the card containing the Offender's biological sample to the Offender's information form. If the information matches, denote this verification along with the date and your initials on the the photocopy of the Offender information form. If the information does not match, notify the State Administrator.
- 15.5.1.1.6 When the electropherogram and the analysis worksheets from the second testing of the Offender's biological sample are received, compare the profile to the CODIS entry and verify it is the same as the DNA profile. Document the project file in the comments section of STR/Y-STR Data Entry and on the Match Detail Report with date and initials. If there is a discrepancy, notify the State Administrator.
- 15.5.1.1.7 If any additional knowns from the case were processed, compare this profile to any relevant samples in the case file, as a quality assurance measure.
- 15.5.1.1.8 Assign the match the next available hit number and update the hit count.
- 15.5.1.1.9 Change the disposition in Match Manager from **Pending** to **Offender Hit** and enter the hit number in the comments section of the disposition window. Change the Investigation

Approved by Director: Dr. Guy Vallaro

Aided count in CODIS according to CODIS hit counting protocols. Modify the “Source Identified ?” box on the STR/Y-STR Data Entry field in CODIS to “Yes” for the forensic DNA sample.

- 15.5.1.1.10 Upon completion of the offender hit confirmation process, complete all appropriate fields on DNA- QR-19. Notification of the CODIS hit shall be completed according to the procedure described in section 15.6.

15.5.1.2 Forensic Sample to Forensic Sample Match

A qualified individual shall compare DNA profiles from the forensic samples. In the case of moderate stringency matches, mixtures and partial profiles, this evaluation should include a direct comparison to the electropherograms.

- 15.5.1.2.1 If the profiles are determined not to be a match, a second qualified individual shall review the profiles. If both examiners concur, write **No Match** on the Match Detail Report, initial and date the report and have second examiner initial also. Change the disposition for the match in Match Manager from **Pending** to **No Match**. Place the Match Detail Report in the case jacket, add the appropriate case ID # and initials, and refile appropriately. In the event that the examiners are unable to agree, consult with the CODIS Administrator and if necessary, the Technical Leader.
- 15.5.1.2.2 In the event the cases have been previously associated (e.g. through the investigation or during examination process), change the disposition in Match Manager from **Pending** to **Benchmark Match**. If the profiles are determined to be a match, fill out the QR-19A, entering the appropriate information to keep a record of the progress of the confirmation process. Determine whether or not the source of either forensic DNA profile has been previously identified by checking the relevant information in the case jackets (e.g. reports). This may include contacting the submitting agency to determine if either case has been solved. If the source of both forensic DNA profiles have previously been identified, the match disposition is changed to Investigative Information and the submitting agencies are notified.
- 15.5.1.2.3 When the source is not identified for one or both DNA profiles, confirm that all appropriate samples (e.g. victim’s known) have been analyzed, if not and if appropriate, process these samples. Compare these profiles to any relevant samples in the case file as a quality assurance measure.
- 15.5.1.2.4 Assign the match the next available hit number, update the hit count, and type a summary of the hit. Change the disposition in Match Manager from **Pending** to **Forensic Hit** and enter

Approved by Director: Dr. Guy Vallaro

the hit number in the comments section of the disposition window. Change the Investigation Aided count according to CODIS hit counting protocols.

- 15.5.1.2.5 Upon completion of the forensic hit confirmation process, fill out the appropriate fields on QR-19A. Notification of the CODIS hit shall be completed according to the procedure described in section 15.6.

15.5.2 Interstate Matches

For each match generated from a national search:

- Locate the appropriate case jacket(s).
- Check that the disposition has been automatically changed from **Candidate Match** to **Pending** in Match Manager.

15.5.2.1 CT Forensic Sample to Out-of-State Offender Match

The CT DESPP-DSS will make a good faith effort to evaluate candidate matches, complete confirmation work, and make Offender confirmation requests to other NDIS participating laboratories involved in interstate matches within 30 business days.

- 15.5.2.1.1 Print a copy of the Match Detail report. Compare the Offender DNA profile to the forensic DNA profile. In the case of moderate stringency matches, mixtures and partial profiles, this evaluation should include a direct comparison to the electropherograms of the forensic sample. The comparison must be performed by a qualified casework DNA analyst.
- 15.5.2.1.2 If the profiles are determined not to be a match, a second qualified individual shall review the profiles. If both examiners concur, write **No Match** on the Match Detail Report, initial and date the report and have second examiner initial also. Change the disposition for the match in Match Manager from **Pending** to **No Match**. Place the Match Detail Report in the case jacket, add the appropriate case ID # and analyst's initials, and refile appropriately. In the event that the examiners are unable to agree, consult with the CODIS Administrator and if necessary, the Technical Leader.
- 15.5.2.1.3 If the profiles are determined to be a match, determine whether or not the source of the forensic DNA sample has been previously identified by checking the relevant information in the case jacket (e.g. reports). This may include contacting the submitting agency to determine if the case has been solved.
- 15.5.2.1.4 If the source of the forensic DNA sample has been previously identified, contact the CODIS Administrator from the other CODIS laboratory. Verify that the identified source of the DNA sample is the same individual listed as the Offender (name and date of birth).

Approved by Director: Dr. Guy Vallaro

is usually sufficient). Document the exchange of information by placing a copy of an email in the case jacket or making a note of any conversation along with other pertinent information on the Match Detail report, initial and date. File the Match Detail Report in the case jacket. Be sure to include the case ID # and initials on each. Change the disposition in Match Manager from **Pending** to **Conviction Match**. If necessary, modify the "Source Identified?" box on the STR/Y-STR Data Entry field in CODIS to "Yes" for the forensic DNA sample.

- 15.5.2.1.5 If the source of the forensic DNA sample has not been previously identified, confirm the relevant known samples (e.g. victim's known).
- 15.5.2.1.6 Using DNA-QR-19 enter the appropriate information to keep a record of the progress of the confirmation process. Using or modifying appropriately the following template, make a request to the CODIS Administrator from the other CODIS laboratory to begin their match confirmation process and to respond with their match disposition and the putative perpetrator's identifying information.

ARCHIVED

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**CODIS DNA MATCH DATA REQUEST
OFFENDER MATCH**

Date:

To: Name
 Address
 ORI:
 Ph:
 Fax:

From: Name, Title
 ORI: CTCSP3500
 Email:

NDIS Match ID: Match Date:

CT casework specimen # XXX has matched to your offender #XXX.

We have confirmed our forensic profile and have determined that the linked specimens are a MATCH.

Please begin your match confirmation process. Once the process is completed, respond with your match disposition and the putative perpetrator's identifying information.

Our forensic case is a TYPE OF INCIDENT that occurred on DATE in TOWN, CT.

Name

Approved by Director: Dr. Guy Vallaro

15.5.2.1.7 When the above information is received, a COLLECT search is conducted. From the COLLECT search information, confirm the following:

15.5.2.1.7.1 The Offender was out of custody on the incident date. If the Offender appears to have been in custody on the incident date, confirm the incident date with the submitting agency, contact DOC Health to determine family status of the Offender (i.e. a known twin), and/or contact DOC Administration for information about furloughs or work releases. If a conflict persists, refer this match to the DNA Database Oversight Panel.

15.5.2.1.7.2 The Offender has not been convicted of the match offense. If the Offender has been convicted of the match offense, change the disposition in Match Manager from **Pending** to **Conviction Match**. Notify the other CODIS laboratory of this information.

15.5.2.1.8 Assign the match the next available hit number, update the hit count, and type a summary of the hit. Change the disposition in Match Manager from **Pending** to **Offender Hit** and enter the hit number in the comments section of the disposition window. Change the Investigation Aided count according to CODIS hit counting protocols.

15.5.2.1.9 Upon completion of the offender hit confirmation process, complete the appropriate fields on DNA-QR-19. Notification of the CODIS hit shall be completed according to the procedure described in section 15.6.

15.5.2.2 CT Forensic Sample to Out-of State Forensic Sample Match

The CT DESPP-DSS will make a good faith effort to evaluate candidate matches, complete confirmation work, and make case information requests to other NDIS participating laboratories involved in interstate forensic matches within 30 business days. Additionally, the CT DESPP-DSS will make a good faith effort to respond to all requests for confirmation and/or case information from another NDIS participating laboratory involved in interstate forensic matches within 30 business days.

15.5.2.2.1 Print out the Match Detail Report. A qualified individual shall compare DNA profiles from the forensic samples. It may be necessary to contact the other casework laboratory to fully evaluate a interstate forensic candidate match.

15.5.2.2.2 If the profiles are determined not to be a match, a second qualified individual shall review the profiles. If both examiners concur, write **No Match** on the Match Detail Report, initial and date the report and have second examiner initial also. Change the disposition for the match in Match Manager from **Pending** to **No Match**. If the other casework laboratory is in agreement that the candidate match is a No Match, place the Match Detail Report in the case jacket and refile appropriately. In the event the examiners are unable to agree, consult with the CODIS Administrator and if necessary, the Technical Leader.

Approved by Director: Dr. Guy Vallaro

- 15.5.2.2.3 If the profiles are determined to be a match, fill out the QR-19A, entering the appropriate information to keep a record of the progress of the confirmation process. Confirm that all appropriate samples (e.g. victim's known) have been analyzed, if not and appropriate, process these samples.
- 15.5.2.2.4 Determine whether or not the source of the forensic DNA sample has been previously identified by checking the relevant information in the case jacket (e.g. reports). This may include contacting the submitting agency to determine if the case has been solved. If the source of the CT forensic DNA sample has previously been identified, contact the other casework CODIS laboratory to determine if their case is unsolved.
- 15.5.2.2.4.1 If both cases are solved, the case details and investigator information shall be exchanged with the other casework laboratory. When the relevant information is received from the the other casework laboratory, that information will be furnished to the submitting agency of the CT case.
- 15.5.2.2.4.2 If one or both of the cases is unsolved, contact the designated CODIS representative from the other laboratory. Using or modifying appropriately the following template, request that they begin the match confirmation process and respond with their match disposition and the specifics of their case. Provide them with the CT match disposition, the specifics of the CT case and the investigator's contact information.

Approved by Director: Dr. Guy Vallaro

**CODIS DNA MATCH DATA REQUEST
FORENSIC MATCH**

Date:

To: Name
 Address
 ORI:
 Ph:
 Fax:

From: Name, Title
 ORI: CTCSP3500
 Email:

NDIS Match ID: DC

Match Date:

CT casework specimen #XX to XX casework specimen #XXXX

We have confirmed our forensic profile and have determined that the linked specimens are a MATCH.

Our case is a TYPE OF INCIDENT that occurred on XX/XX/XXX in TOWN, CT. The investigator is
XXXX XXX of the XXXX Police Department (phone). The agency case # XXXXX.

Please confirm your forensic case and forward investigative contact and case information.

Name

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15.5.2.2.5 When the requested information is received, complete the appropriate fields on QR-19A. Assign the match the next available hit number, update the hit count, and type a summary of the hit. Change the disposition in Match Manager from **Pending** to **Forensic Hit** and enter the hit number in the comments section of the disposition window. Change the Investigation Aided count according to CODIS hit counting protocols.

15.5.2.2.6 Upon completion of the forensic hit confirmation process, fill out the appropriate fields on QR-19A. Notification of the CODIS hit shall be completed according to the procedure described in section 15.6.

15.5.2.3 CT Offender Sample to Out-of-State Forensic Sample

The CT DESPP-DSS will make a good faith effort to respond to all requests for offender confirmation and information from another NDIS participating laboratory involved in interstate matches within 30 business days.

15.5.2.3.1 A qualified individual shall compare the CT offender DNA profile to the forensic sample DNA profile and review the DNA data related to the Offender to be prepared to respond to inquiries originating from the out-of-state laboratory.

15.5.2.3.2 If the laboratories determine the DNA profiles do not match, change the disposition in Match Manager from **Pending** to **No Match**. No further action is required.

15.5.2.3.3 If the laboratories determine the profiles are a match and a request to confirm the Offender sample is received, print out a copy of the Match Detail Report, obtain a copy of the Offender's information and conduct a COLLECT (RT50, RT60, SPRC and NCIC) search. From the COLLECT search, determine that the Offender has been convicted of a qualifying offense and was not incarcerated on the incident date, if the date has been supplied.

15.5.2.3.4 If a qualifying conviction cannot be readily identified from the COLLECT search, contact DOC Health or the Chief States' Attorneys' Office to assist with verification. If the Offender has not been convicted of a qualifying offense, this match will be referred to the DNA Database Oversight Panel for evaluation.

15.5.2.3.5 If the Offender appears to have been in custody on the incident date, confirm the incident date with the submitting agency, contact DOC Health to determine family status of the Offender (i.e. a known twin), and/or contact DOC administration regarding any furloughs or work release. Confirm the Offender's profile to rule out any incongruities. If a conflict persists, refer this match to the DNA Database Oversight Panel for evaluation.

15.5.2.3.6 The Convicted Offender DNA profile will be confirmed by extracting and analyzing

Approved by Director: Dr. Guy Vallaro

a second sample of the Offender's biological sample.

- 15.5.2.3.6.1 Locate item #1-1 or #1-2 FTA card and compare the barcode on the the FTA card to the barcode on the Offender information card. If the barcodes match, denote this information along with the date and your initials on the the photocopy of the Offender information card. Place item #1-1 or #1-2 in the bin to labeled Offenders to be Confirmed. If the barcodes do not match, notify the State Administrator.
- 15.5.2.3.6.2 For Offenders submitted prior to the implementation of barcodes, verify the name and numerical identifiers on the card containing the Offender's biological sample to the Offender's information form. If the information matches, denote this verification along with the date and your initials on the the photocopy of the Offender information form. If the information does not match, notify the State Administrator.
- 15.5.2.3.6.3 When the electropherogram and the analysis worksheets from the second testing of the Offender's biological sample has been received, verify the profile is the same as the DNA profile entered into CODIS. Document the project file in the comments section of STR/Y-STR Data Entry and on the Match Detail Report with date and initials. If there is a discrepancy, notify the State Administrator.
- 15.5.2.3.7 Fill out the DNA-QR-19 entering the appropriate information to keep a record of the progress of the confirmation process. Note the project file on the Match Detail Report, initial and date. Document the new project file in the comments window in the STR/Y-STR Data Entry field in CODIS for the sample tested.
- 15.5.2.3.8 Assign the match the next available hit number, update the hit count, and type a summary of the hit. Change the disposition in Match Manager from **Pending** to **Offender Hit** and enter the hit number in the comments section of the disposition window Change the Investigation Aided count according to CODIS hit counting protocols.
- 15.5.2.3.9 Using, or modifying appropriately, the following template, provide the out-of-state laboratory with the Offender's name and the available identifying information by fax and by mail.

Approved by Director: Dr. Guy Vallaro

**CODIS DNA MATCH DATA RESPONSE
OFFENDER MATCH**

Date:

To: Name
 Address
 ORI:
 phone:
 fax:

From: Name, Title
 ORI: CTCSP3500
 email:

NDIS Match ID:

Match Date:

The match of CT offender DB-XX-XXXXXX to XX casework specimen XXXXXXXX has been determined to be a MATCH.

Putative Perpetrator's Identifying Information

Name:
DOB:
SID #:
FBI#:

Name

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15.5.2.3.10 Place a copy of all generated paper work in the CODIS Hit notebook.

15.6 Notification of Offender and Forensic Hits

- 15.6.1 When either an offender or forensic hit has been confirmed, the submitting agency, the appropriate State's Attorney's office and the Chief State's Attorney's Office shall be notified. This notification may be sent by either facsimile or email using the state email system.
- 15.6.2. Use the appropriate Hit Notification Form template. Modifications may be necessary depending on the individual circumstances of each hit and/or case. The Hit Notification Form may be completed by non-scientific personnel.
- 15.6.2.1 Complete the Offender Hit Notification Form template to provide the appropriate case and offender information and to request the submission of a confirmatory biological sample from the identified offender.

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**State of Connecticut
Department of Emergency Services and Public Protection
Division of Scientific Services
DNA Section**

278 Colony Street, Meriden, CT 06451
phone: 203-639-6400 fax: 203-639-6485

Offender Hit Notification Form

To: PD:

SAO:

CSAO:

Date:

Offender Hit #

CODIS Match #

Recent DNA analyses have generated a hit between DNA case work and the State or National Offender DNA Databases. Please find below the hit summary, case related information and the identifying information for the Offender. A formal laboratory report, identifying the offender, will be issued upon the submission and processing of a confirmatory biological sample from the listed individual. **When the offender's known is submitted to the Laboratory, it should be clearly identified as a confirmatory sample for a database hit.** Please, do not hesitate to call the laboratory if you wish to discuss this matter further.

Name

CODIS State Administrator

Date of hit:

Lab Case #:

Submitting Agency:

Agency Case #:

Type of Incident:

Date of Incident:

Description of item with matching profile:

Offender Name:

DOB:

Database #:

Inmate #:

SPBI #:

SSN:

Incarcerated:

Location:

Approved by Director: Dr. Guy Vallaro

- 15.6.2.2 Complete the Forensic Hit Notification Form template providing the appropriate case data and investigators' contact information.

State of Connecticut

Department of Emergency Services and Public Protection

Division of Scientific Services

DNA Section

278 Colony Street, Meriden, CT 06451
phone: 203-639-6400 fax: 203-639-6485

Forensic Hit Notification Form

To: PD:
SAO:
CSAO:

Date:

Forensic Hit #

CODIS Match #

Recent analyses have generated a hit between DNA profiles from forensic samples in the State or National DNA Databases. Please find below the hit summary, case related information and the investigator's contact information. Please, do not hesitate to call the laboratory if you wish to discuss this matter further.

Name
CODIS State Administrator

Date of Match:

Lab Case #:

Submitting Agency:

Agency Case #:

Type of Incident:

Date of Incident:

Item with matching profile:

Investigator:

Lab Case #:

Submitting Agency:

Agency Case #:

Type of Incident:

Date of Incident:

Investigator:

State of Connecticut Department of Emergency Services and Public Protection

Division of Scientific Services

Once printed this version is no longer controlled. Use Qualtrax for the most current version.

*Approved by Director: Dr. Guy Vallaro***15.6.2.3 Additional Relevant Information:**

15.6.2.3.1 The hit notification shall include any additional relevant information taken into consideration during the evaluation and confirmation of the match. Such information may include, but is not limited to, the following: The forensic target profile was a mixture; The forensic target profile was a partial profile.

15.6.2.3.2 The hit notification shall include information that may be useful to the investigation and/or help expedite the acquisition of a confirmatory biological sample. Such information may include, but is not limited to, the following:

- The Offender profile previously matched other forensic samples;
- A confirmatory known from the Offender has already been submitted to the laboratory.

15.6.2.3.3 Sample phrases for including additional relevant information:

NOTE: The forensic DNA profile entered into CODIS was a partial profile.

NOTE: The forensic DNA profile entered into CODIS was deduced from a mixture.

NOTE: The DNA profiles from lab cases IDXX-XXXXXX and IDXX-XXXXXX previously hit (see CODIS Hit #XX). A suspect, J. Smith, has been identified and linked to these specimens through DNA analysis (see DNA reports dated XX-XX-XX). In order to make the direct comparison between the known sample from J. Smith and the forensic profile from lab case IDXX-XXXXXX, the Laboratory must receive a letter from a State's Attorney permitting this action.

NOTE: The above Offender has been linked to forensic samples from cases submitted by XXXX PD (local case number), YYYY PD (local case number), and ZZZZZ PD (local case number). The Laboratory must receive a letter from a State's Attorney authorizing the use of a single confirmatory sample from the Offender for comparison to all the above cases.

NOTE: The above Offender has been linked to forensic samples from cases submitted by Windsor PD (IDXX-XXXXXX and IDXX-XXXXXX) and Enfield PD (IDXX-XXXXXX). A known sample from J. Smith has been submitted under IDXX-XXXXXX. In order to make a direct comparison between this known sample and the forensic profile from IDXX-XXXXXX, the Laboratory must receive a letter from the State's Attorney permitting this action.

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NOTE: The above Offender has been linked to a forensic sample from a case submitted by Orange PD (agency case # XX-XXXX /lab case # IDXX-XXXXXX). The Laboratory must receive a letter from a State's Attorney authorizing the use of a single confirmatory sample from the Offender for comparison to both cases.

15.6.3 The individual who completes the Hit Notification Form will initial the bottom left corner of this page.

15.6.3.1 A qualified DNA analyst shall conduct an administrative review of the Hit Notification.

15.6.3.1.1 The administrative review shall include:

- Evaluating the match;
- Reviewing the supporting administrative documentation;
- Proofreading the Hit Notification for clerical errors and accuracy of information;
- Confirming the adherence to SOPs;
- Reviewing the listed individual's biographical data and qualifying offense;
- Reviewing the DNA profiles generated during the hit confirmation process.

15.6.3.1.2 The requirements of the administrative review will be documented on DNA-QR-19 or DNA-QR-19A. Additionally, the administrative reviewer will initial the bottom left corner of the final copy of the Hit Notification.

15.6.4 The CODIS Administrator or designee will review and sign the finalized version of the Hit Notification Forms.

15.6.5 The Hit Notification Forms will be faxed or emailed to the listed agencies.

15.6.5.1 If a Hit Notification form is to be sent by email, it must be sent using the state email system and as a PDF file.

15.6.6 A copy of the Hit Notification Form, and if applicable, the fax transmission Reports will be filed in the appropriate CODIS Hit notebook. The Offender-Forensic Hit Audit Spreadsheet will be updated.

15.6.7 The original copy of the Hit Notification Form, and as applicable, the copy of the Offender information card, and any correspondences with other CODIS laboratories will be retained in the case jacket. The case jacket will be returned to the analyst for the appropriate review.

15.7 Missing Persons Matches

Wherever possible, the confirmation of matches involving missing person or unidentified human remains (UHR) samples should follow procedures similar to matches involving forensic

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samples. Unidentified human remains with a source ID of “No” are functionally equivalent to an unsolved forensic case while unidentified human remains with a source ID of “Yes” and missing person/deduced missing person samples are treated in the same manner as solved forensic cases. A Candidate Match matching any loci at less than high stringency shall be reviewed and evaluated by a qualified casework DNA analyst.

- 15.7.1 For each match generated from a state search:
- Print a copy of the Match Detail report.
 - Pull the appropriate case jacket(s).
 - Check that the disposition has been automatically changed from **Candidate Match** to **ID Pending** in Match Manager.
- 15.7.2 Compare the reference sample DNA profile to the UHR DNA profile. In the case of moderate stringency matches, mixtures and partial profiles, this evaluation should include a direct comparison to the electropherograms of the UHR sample.
- 15.7.3 If the profiles are determined not to be a match, a second qualified DNA examiner shall review the profiles. If both examiners concur, write **No Match** on the Match Detail Report, initial and date the report and have second examiner initial also. Change the disposition for the match in Match Manager from **ID Pending** to **No Match**. Place the Match Detail Report in the case jacket, add the appropriate case ID # and initials, and refile appropriately. In the event that the examiners are unable to agree, consult with the CODIS Administrator and if necessary, the Technical Leader.
- 15.7.3.1 If the profiles are determined to be a match, compare the meta data for the samples that have matched. If meta data for one or both of the samples is missing or incomplete, contact the submitting agencies to request additional information. If following comparison of the DNA profiles and the meta data the samples are still determined to match, contact the respective submitting agency(s) to determine if the case(s) have been solved.
- 15.7.4 Begin collaborating with the other Missing Person laboratory to verify the match and exchange information including available metadata and applicable kinship statistics. Both laboratories are responsible for ensuring communication occurs.
- 15.7.5 If the available information is not enough to verify or refute the possibility of relationship, additional family references should be collected and a Pedigree Tree constructed/enhanced, uploaded and searched.
- 15.7.6 Once the laboratories have confirmed the putative identification, the laboratory responsible for the relative’s profile provides the information to the laboratory responsible for the UHR regarding a potential biological relationship between the sample donor and the UHR. The

Approved by Director: Dr. Guy Vallaro

laboratories will exchange enough information so the respective submitting agencies can contact each other. Both laboratories will document the final confirmed match.

- 15.7.7 Upon confirmation, change the disposition in Match Manager from **ID Pending** to **ID Confirmed**. Place the Match Detail Report in the case jacket and refile appropriately.
- 15.7.8 Upon completion of the confirmation process, notify the outside agencies including the OCME, submitting agency, the appropriate State's Attorney's Office, and the Chief State's Attorney's Office. The OCME is the legal authority regarding the identification of human remains. The laboratory will provide supporting documents to the OCME to aid in their decision.
- 15.8 Confirming Partial Matches**
- 15.8.1 A partial match is a moderate stringency candidate match between two single source profiles (one forensic and one offender) having at each locus (at ≥ 12 of 15 loci) at least one allele in common. This match indicates that a familial relationship may exist between the offender and the putative source of the sample. A partial match is seen as a fortuitous event as the Division of Scientific Services does not conduct familial searches (refer to DNA SOP 13.7.4).
- 15.8.2 Typically, a partial candidate match may be considered for further review if 15 or more alleles are shared between the forensic and offender profiles.
- 15.8.3 Additional testing will be performed on both samples to confirm the match. Testing may include Y-STR, Mitochondrial, or additional autosomal STR loci, including mini-STRs.
- 15.8.4 If a partial match is confirmed, a COLLECT search will be performed to ensure that the offender identified has a qualifying offense. If a qualifying conviction cannot be readily identified from the COLLECT search, contact DOC Health or the Chief States' Attorneys' Office to assist with verification. If the offender has not been convicted of a qualifying offense, this match will be referred to the DNA Database Oversight Panel for evaluation.
- 15.8.5 A meeting will be held with the interested parties (submitting agency and State's Attorney) to discuss the nature of the match and what the significance of the match is. The identifying information for the identified offender will be release at this meeting. A copy of the forensic case information and the offender's identifying information will be faxed or emailed to the Chief State's Attorney's Office.
- 15.8.6 The Division of Scientific Services does not pursue possible NDIS partial matches. The Laboratory will, however, honor requests for the confirmation of partial matches from other NDIS participating laboratories provided the casework laboratory makes a written request.

Approved by Director: Dr. Guy Vallaro

- 15.8.6.1 The written request shall be on agency letterhead and include the documented concurrence of the prosecutor.
- 15.8.6.2 The casework profile must be a single source forensic profile with a minimum of 13 core loci.
- 15.8.6.3 The written request shall include the statistical analysis used to conclude that there may be a potential familial relationship between the CT offender profile and the forensic profile. The statistical analysis shall include the Individual Expected Match Ratios (EMR) and Expected Kinship Ratios (EKR) which have been calculated according to the “SWGDM recommendations to the FBI Director in the Interim Plan for the Release of Information in the Event of a ‘Partial Match’ at NDIS.” The EMR and the EKR will satisfy the thresholds recommended by SWGDAM.
- 15.8.7 Whenever an offender’s identifying information is released to another NDIS participating laboratory it will be done in written form on Division letterhead. A copy of the correspondence will be provided to the NDIS Custodian with the offender’s personally identifying information redacted.
- 15.8.8 If the laboratory determines the release of the offender information is not permissible, the requesting laboratory shall be given written notification of such determination and a copy of that correspondence will be provided to the NDIS custodian.
- 15.9 Document Retention**
- 15.9.1 All documentation pertaining to CODIS hits will be retained at the laboratory indefinitely. The CODIS State Administrator is responsible for the retention of CODIS hit documentation.
- 15.9.2 For State of CT hits, the offender confirmation records will be kept in the respective laboratory case file and in an area at the laboratory designated by CODIS State Administrator.
- 15.9.3 For out of state hits, the offender confirmation records will be kept in an area at the laboratory, designated by the CODIS State Administrator.